



Johnson Space Center Policy Directive

JPD No.: 2200.1C
Effective Date: 5/26/2009
Expiration Date: 5/26/2014

VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

COMPLIANCE IS MANDATORY

Release of JSC Scientific and Technical Information to External Audiences

Responsible Office: Information Resources Directorate

1. POLICY

1.1 This Johnson Space Center (JSC) Policy Directive (JPD) documents the policies and responsibilities for external release of JSC-funded or -sponsored Scientific and Technical Information (STI) (defined in Appendix A). This policy directive is applicable to Program employees who are in residence at JSC.

1.2 Two of NASA's four crosscutting processes are to "generate knowledge" and to "communicate knowledge." According to the *2003 NASA Strategic Plan*, "This knowledge is provided to scientists, engineers, and technologists in industry, academia, and other organizations," and these processes "reflect the first and most basic part of NASA's mission statement." To ensure the widest and most appropriate dissemination of information, it is NASA policy to review STI produced by and for the Agency, thus confirming the integrity of the information and protecting information that should not be generally disseminated. This review includes export control considerations.

1.3 Official Review and Approval. JSC-authored STI is reviewed and approved before external release to ensure (1) conformance to NASA policy and Federal regulations and laws, (2) technical accuracy, (3) adherence to publications policy and standards, and (4) appropriate dissemination or availability category. Approvals are documented on NF 1676 (JSC), *JSC Approval of Scientific and Technical Information for External Release*. Public release is not authorized until final approval authority is received through automated notification from the document availability authorization (DAA) system. Approval is not official until all required signatures have been obtained and verified by the DAA coordinator; therefore, authors must initiate forms with adequate lead time and all reviewers must process approval forms promptly.

NOTE: Authors may not serve as technical reviewers or approvers of their own papers.

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1.3.1 Any reviewer who denies approval/rejects a proposed release must provide the author with the reasons for disapproval/rejection within the electronic NF 1676 (JSC). An automated email is sent to the author and form initiator notifying them of the rejection and reason for disapproval. Authors or their management may appeal disapprovals to the next higher level reviewer (e.g., rejections by the technical and export control reviewers may be appealed to division level, and rejections by division level reviewers may be appealed to directorate level). Authors may modify the information or change the availability category and resubmit the information with a new form and a summary of the modifications.

1.3.2 When all information produced under a specific project, contract, or grant will be disseminated under the same availability category (e.g., "Publicly Available"), the responsible organization may elect to initiate a request for *blanket approval* on NF 1676 (JSC). Because this blanket approval applies to availability category only, authors are still required to initiate a new NF 1676 (JSC) for individual papers within the project for reviews of NASA policy and technical accuracy. Export control review, however, and any other review for availability, will not be necessary for the individual papers under projects with blanket approvals.

1.3.3 Authors should determine whether the information to be released can be made publicly available right away or should be restricted to a limited audience. Approval by Officials-in-Charge and export control personnel includes approval of the availability category.

1.4 Export Controlled Information. All STI must be reviewed by authorized JSC Export Control personnel before release in any form (e.g., print, electronic, oral presentation) to foreign audiences or to audiences that may include foreign nationals. Export control limitation notices (also called destination control statements) must be prominently displayed on, attached to, or inserted with information restricted by Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR).

NOTE: STI originating at or controlled by other NASA centers should be reviewed and approved through that center's DAA process.

1.5 Proprietary/Sensitive Information. STI that contains trade secrets, is produced under the Small Business Innovative Research (SBIR) Program, or contains material copyrighted by a contractor or grantee may be restricted to a specific audience (such as NASA personnel and NASA contractors only).

Proprietary, sensitive, limited rights and trade secret/confidential commercial information and SBIR data is defined in NPR 2200.2B, Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information. Sensitive information is also defined in NPR 1600.1, NASA Security Program Procedural Requirements.

1.6 Invention Information. STI releases disclosing an invention must be reviewed by the JSC Technology Transfer and Commercialization Office (with assistance from the JSC Patent Council as necessary) who will assign the appropriate release date.

1.7 Technology Development. If the STI describes a new technology with commercial potential, regardless of whether it is confidential, commercial, or patented, descriptive information must be reviewed by the Technology Transfer and Commercialization Office before external release. For help determining commercial potential contact the Technology Transfer and Commercialization Office.

1.8 Copyrighted Information. Works authored by Government employees as part of their official duties cannot be copyrighted in this country (17 USC 105). Therefore, JSC employees have no authority to copyright a work or transfer copyright to a publisher. They may, however, sign a block on copyright transfer forms certifying that the work was prepared as part of their official duties. Contractors and grantees generally may copyright works produced under Government funding or sponsorship, subject to a nonexclusive Government license under the copyright. Along with the copyright notice on such works, an acknowledgment of Government support must be included. If distribution of copyrighted material is to be restricted, the author must indicate the restriction on the NF 1676 (JSC).

1.9 Security Classification. Authors and their managers must make sure their information is marked with the proper security classification. Classified information can be released only to persons with appropriate security clearances. The JSC Security Office can answer questions about security classification of information.

2. APPLICABILITY

2.1 JPD 2200.1C is applicable to all JSC personnel, contractors, grantees, authors and coauthors, and speakers.

3. **AUTHORITY** (All document citations are assumed to be the latest version unless otherwise noted.)

NPD 2200.1, *Management of NASA Scientific and Technical Information (STI)*
NPR 2200.2, *Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information*

4. **APPLICABLE DOCUMENTS** (All document citations are assumed to be the latest version unless otherwise noted.)

17 USC 105, Subject matter of copyright: United States Government works

NASA Federal Acquisition Regulation (FAR) Supplement

I) 1835.010 Scientific and Technical Reports

II) 1835.011 Data

III) 1835.070 NASA Contract Clauses and Solicitation Provision

- IV) 1852.235-70 Center for Aerospace Information
- V) 1852.235-73 Final Scientific and Technical Reports

NPD 2200.1, *Management of NASA Scientific and Technical Information*

NPR 1490.1, *NASA Procedures and Guidelines for Printing, Duplicating, and Copying Management*

NPR 2200.2, *Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information*

NPR 5800.1, *Grant and Cooperative Agreement Handbook*

NPR 2190.1 *NASA Export Control Program*

JPD 9710.1Y, *Delegation of Authority to Authorize or Approve Travel*

5. RESPONSIBILITY

5.1 Authors are responsible for determining if information is subject to release restrictions and requesting official review and approval before external release of STI resulting from work sponsored or funded by JSC. Request for approval is made on NF 1676 (JSC). All approval request forms should be submitted 4 weeks before release is planned or sooner if travel is involved. The length and complexity of review material should be considered when estimating needed lead time for final approvals.

Authors must also stay apprised of guidelines related to STI release including

5.1.1 Electronic releases of STI through publicly accessible servers or networks such as the Internet.

5.1.2 Oral disclosure and adherence to the approved abstract or written version of their talks (particularly important during discussion periods).

5.1.3 Co-authorship.

5.1.4 Travel related to speeches or presentations per JPD 9710.1Y, *Delegation of Authority to Authorize or Approve Travel*.

5.1.5 External Billing. Any costs for allowable page charges, for additional reprints of journal articles, or for copies of publications.

5.1.6 Printing per NPR 1490.1, *NASA Procedures and Guidelines for Printing, Duplicating, and Copying Management*.

NOTE: The requirement to review and approve STI before release is independent of the release channel. STI transmitted through publicly accessible servers or networks are subject to the review and approval policies in this Directive, even if the information is not released in printed form or does not have a report number. When the release does not include an abstract and is not the equivalent of a traditional printed publication, a description that includes purpose, major contents, and expected frequency of change must be attached to the approval request.

5.2 JSC Publications Services interprets Agency regulations applicable to this Policy Directive, records and retains records of all approved NF 1676 (JSC), and reviews information proposed for release in the NASA Scientific and Technical Reports Series.

5.3 Technical reviewers are responsible for assessing the technical accuracy and value of the information. These technical reviewers are selected for their technical expertise in a discipline. They need not be employed by NASA or any other Government agency or contractor.

5.4 JSC Division Chiefs or managers at the equivalent level are responsible for review and approval of STI to be released by personnel in their organizations and for selecting or approving technical reviewers for the information.

5.5 JSC contract and grant technical monitors or officers must approve contractor results to be published in the NASA Scientific and Technical Report Series, and other information as stipulated by the applicable contract or grant. NF 1676 (JSC) is used to indicate approval.

JSC contract and grant officers will

5.5.1 Review contracts and grants.

5.5.2 Report requirements for contracts as found in the NASA FAR Supplement (subparts 1827.406-70, Reports of Work, and 1852.235-70, Center for AeroSpace Information).

5.5.3 Report grants requirements as found in NPR 5800.1, *Grant and Cooperative Agreement Handbook* (subpart 1260.21).

5.5.4 Forward a copy of each final technical report (for contracts) or final summary of research (for grants) to JSC Publications Services.

5.5.5 Be aware of the requirement that information to be published in the NASA Scientific and Technical Report Series must first be reviewed by the appropriate JSC officials and submitted to JSC Publications Services.

5.6 The Center Export Administrator (CEA), in coordination with the Center Export Counsel as required, will assist program and project personnel in reviewing STI for export control considerations. The CEA may delegate this responsibility to trained export control representatives (ECRs) in specific programs or organizations.

5.7 Officials-in-Charge of JSC Directorates and Program Offices are responsible for final approval of each proposed STI release within their organizations and for selection of the appropriate dissemination (availability category). These officials are also responsible for reviewing STI for adherence to NASA policy and for concurring in or approving of selection of technical reviewers. These responsibilities may be delegated to division chief levels.

5.8 IRD is responsible for ensuring the responsibilities listed above (5.1 – 5.7) are fulfilled.

5.9 The JSC Center Director, in coordination with the JSC STI Manager, will establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2B. The Center Director shall ensure that corrective actions associated with improvement areas cited in the yearly compliance review provided by the STI Program Office are implemented at their Center.

5.10 The JSC STI Manager is responsible for instituting a process to ensure timely (prior to needed release date) notification is given to authors, initiators, and approvers of STI regarding approval or rejection so that non-approved STI is not inappropriately released. The STI Manager will ensure notification of all non-approved STI is regularly provided to the STI Program Office to help support STIPO's compliance review of appropriately released STI.

The STI Manager, in coordination with the Center Director, will establish and implement a plan to ensure awareness of the STI review requirements contained in NPR 2200.2B.

6. DELEGATION OF AUTHORITY

None Authorized.

7. MEASUREMENT/VERIFICATION

In assessing whether JSC is achieving the STI policies set forth in this JPD, the Center will measure, on a yearly basis, the following performance trends to determine the value of the STI program:

a. Metrics—Using the reporting feature inherent to the DAA system, IRD STI officials will generate and review metrics and report them annually to the Joint Management Council as an indicator of the overall health of the Center STI Program. The JMC will evaluate those metrics against an established marker for Program success and require corrective action for any below

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that threshold. IRD STI officials will routinely analyze STI release metrics to evaluate the category and number of releases made, reporting yearly totals to the Agency STI Program.

b. Customer satisfaction--JSC will routinely analyze comments and questions received from users and various user groups (especially NASA, NASA contractors, and NASA grantees) regarding the timeliness of service and usefulness of its information.

8. CANCELLATION/RECISION

JPD 2200.1B, dated October 20, 2005

Original Signed By:

Michael L. Coats
Director

Distribution:
JDMS

Appendix A: Clarification of Policy Terms

Scientific and Technical Information (STI) is defined as the results of basic and applied research and development. Related management and historical information (as defined in NPR 2200.2, *Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (STI)*) may also be considered STI. All NASA STI must be approved before external release in all formats and media. Externally released STI is any release of STI intended for publication or presentation outside of JSC or to an internal audience that may include foreign nationals.

Common examples of external releases are

- a. NASA Scientific and Technical Report Series publications, whether publicly available or restricted to specific audiences (e.g., NASA personnel only). STI report types are described in NPR 2200.2, *Requirements for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information (STI)*.
- b. Presentations/briefing charts (whether or not they are accompanied by written material) and papers for professional meetings such as symposia, seminars, and conferences.
- c. Articles and synopses for journals or other collections of professional papers.
- d. Books, parts of books, or theses published outside NASA.
- e. STI to be posted electronically to publicly accessible computer servers or networks.

NOTE: *Information released to International Partners during the course of an international cooperative program is not an external release and is excluded from the scope of this Directive. It must be reviewed and approved for export by the appropriate program office as directed by the NASA Export Control Program.*